



QUALIFICATIONS

Qualifications Support Pack 2 Internal Quality Assurance



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INTRODUCTION

The Prince's Trust became an awarding organisation in 2010 and is currently recognised by the relevant qualification regulators in England, Wales, Northern Ireland and Scotland to design, deliver and award qualifications. We also provide qualifications outside the UK.

Prince's Trust Qualifications is committed to providing excellent support to our centres ensuring they are best placed to support young people working towards our qualifications.

This guide seeks to support centres to undertake Internal Quality Assurance (IQA) activities. All centres must have an effective quality assurance system to ensure the best possible delivery and assessment of qualifications. Effective quality assurance ensures that all learners are assessed fairly, accurately and consistently to national standards. Where learners take no external examination, it is particularly crucial that a system is in place to monitor the performance of Assessors.

An IQA system will ensure that activities are safe (e.g. work is authentic and not plagiarised), valid (e.g. the methods are in line with what was being assessed), fair (e.g. the methods were appropriate for all learners) and reliable (e.g. similar decisions would be made with similar learners).

Centres are responsible for internal quality assurance whilst Prince's Trust Qualifications is responsible for External Quality Assurance (EQA).

A centre's internal quality assurance system may contain all or some of the following:

- sampling plans
- interim and summative sampling
- internal moderation (IM)
- monitoring of Assessor practice (including observation)
- CPD and training records of Assessors and IQAs
- conversations with learners
- standardisation meetings and activities
- sound administration and records of the above

Contacting Prince's Trust Qualifications

All approved centres can contact us through The QualsHub or we can be emailed at qualifications@princes-trust.org.uk

Telephone and video calls can also be arranged.

INTERNAL QUALITY ASSURER

The Prince's Trust requires that a suitable named person is responsible for Internal Quality Assurance (IQA) at a centre. This person should be competent to undertake the quality assurance activities and support Assessors. This person should not be substantially involved in the delivery of the qualification or assessment of the learners who are being quality assured.

The key essential competencies for Internal Quality Assurers include (but are not limited to):

- Qualified to RQF Level 4/SCQF Level 7 or above or suitable relevant experience teaching or training in the subject being assessed
- Assessment experience and knowledge of assessment types and methods appropriate for the qualifications being assessed
- Knowledge of the principles and practices of IQA
- Experience of giving constructive feedback to Assessors

From time-to-time Prince's Trust Qualifications may request details of IQA competency as part of the quality reviews. More information on Quality Reviews can be found in our Qualifications Support Pack: Centre Handbook.

The Prince's Trust offers a Level 4 Award in Internal Quality Assurance of Assessment Processes and Practice. If you or a member of your team is interested in undertaking this qualification, please contact us.

INTERNAL MODERATION (IM)

Internal moderation is conducted by the Internal Quality Assurer (IQA) as one part of the overall quality assurance process. The IQA checks that the assessment decisions made by the Assessor are valid and accurate through sampling of learners' work. This should be completed for each cohort of learners, for all units at all levels, before the units are submitted for external moderation. The IQA will provide constructive feedback to allow improvements to be made before external moderation. The IQA should have expertise in the subject area and familiarity with national standards. No individual may act as Assessor and Internal Quality Assurer for the same group of learners.

A centre can use The Prince's Trust Internal Moderation Template Form or their own version. The Internal Quality Assurer should provide detailed and constructive feedback to the Assessor on these forms. For feedback to be most useful, it should reference specific assessment criteria so that the Assessor understands which assessment criteria have not been fully met for a given learner. It is good practice for the Internal Quality Assurer to also comment on areas of good practice and to make specific suggestions for development areas.

The IQA must ensure that the following are all true:

- Evidence is sufficient to meet the command words and criteria.
- Evidence is authentic. If learners have used the Internet for research, the IQA should check that all sources have been acknowledged.
- Evidence is personalised. Identical work between learners is not acceptable. Any work that has been plagiarised will be failed and may be considered to be malpractice.
- Evidence is relevant, clearly referenced on the Tracking Sheets and easy to navigate. Only pages of evidence which directly relate to a specific assessment criterion should be referenced.

All Internal Moderation Forms must include the Assessor's response to the feedback and any actions they have undertaken in light of internal moderation. This demonstrates that there is an effective two-way dialogue taking place between Assessor and Internal Quality Assurer and that the whole process is meaningful and not a 'tick box' exercise.

All forms must be signed and dated by both the IQA and the Assessor. All IM evidence must be made available for external moderation.

Example Internal Moderation Form

Centre of Internal Moderator: XXXXXXXXXXXX
Date of internal moderation: XX/XX/XXXX

Name of Internal Moderator: XXXXXXXXXXXX

Unit of Work:		Career Planning (RQF Level 1 / SCQF Level 4)					Comments
Learner name	Is the work clearly referenced ?	Is the work authentic?	Criterion which are insufficiently evidenced				
			AC 1	AC 2	AC 3	AC 4	
Learner A	No	Yes	1.3		3.4		<ul style="list-style-type: none"> 1.3 multiple advantages and disadvantages are required, not just one 2.1, 2.2 Excellent CV and Application Form 3.4 encourage learner to reflect more on how the interview went as review very minimal Page numbering is incorrect – please revise
Learner B	No	Yes		2.1	3.3		<ul style="list-style-type: none"> 2.1 Final draft of CV needed without typos and crossing out 3.3 learner must identify themselves in the photograph and add annotation Lots of irrelevant paperwork is included – remove before external moderation.
Learner C	Partial	Yes	1.3				<ul style="list-style-type: none"> 1.2 is blank so needs to be completed 1.3 requires description so more detail is needed 2.1 Excellent CV 3.4 a very honest and considered review of their performance at interview Excellent use of ICT
Unit of Work:		Teamwork Skills (RQF Level 1 / SCQF Level 4)					Comments
Learner name	Is the work clearly referenced ?	Is the work authentic?	Criterion which are insufficiently evidenced				
			AC 1	AC 2	AC 3	AC 4	
Learner D	Yes	Yes					<ul style="list-style-type: none"> A very concise unit of work – descriptions are well developed. Photographic evidence has been well used
Learner B	Yes	Yes	1.1 1.2		3.4		<ul style="list-style-type: none"> 1.1, 1.2 require multiple ideas so learner needs to develop response further. Responses seem to be identical to Learner E – ensure learner writes in own words. 3.4 ensure feedback is constructive and appropriate. Learner should be encouraged to revise the feedback given. 4.1-4.3 – very good review of performance
Learner E	Yes	Yes			3.2 3.5		<ul style="list-style-type: none"> 1.1, 1.2 require multiple ideas so learner needs to develop response further. Responses seem to be identical to Learner B – ensure learner writes in own words. 3.2 needs evidence of participation not just statement from learner. Add annotated photo or witness statement. For 3.5 make clear who provided the constructive feedback 4.2 learner should be encouraged to think of skills rather than writing ‘none’

Summary of advice, and if necessary, action required. This may relate to the portfolio structure, the efficiency of the centre's administration, the appropriateness of the tasks and the accuracy of the centre's assessments against the criteria and the agreed standard for the unit.

Areas for Development before submission for EM:

- Please consider the organisation of the portfolios; often the evidence is not presented in order and irrelevant paperwork is included making it hard to find the evidence needed to meet criteria.
- More formative Assessor feedback would ensure that learners fully meet the criteria; some learners should be encouraged to provide more details particularly for the assessment criteria highlighted above.
- Please ensure that all Tracking Sheets and witness statements have been signed by Assessor and/or learner before EM.
- Learners' abilities should be differentiated; it appears that some learners may be capable of working at a higher level (for example, Learner D) so this could be considered to ensure learners are working at the level best suited to their needs.

Good Practice

- Learners have completed some quality, independent research across the units
- Worksheets are generally well designed to support the learner in meeting the demands of the units and to encourage LLN to be embedded into the units.
- A variety of evidence has been used. This has created interesting portfolios and ensured assessment activities are suitable for all learners in the group. In particular, photographic evidence has been well used to evidence practical elements and in general has been well annotated.

Please give brief details of any action plans or changes made to the portfolios since they were reviewed by the Internal Moderator. To be completed by the Assessor.

Following IM the actions below have been taken:

- Portfolios have been reorganised with page numbers checked and additional information removed.
- All portfolios checked by me to look for blanks on worksheets; where found a one-to-one with learner carried out to ensure everything fully completed
- All learners added annotations to their photos to say who they are and what they are doing where needed
- Teamwork Skills: Learner B now added more ideas for 1.1 and 1.2 and a different example for 3.4 has been provided. A witness statement has been added for Learner E. Learners A and C have both worked independently to complete 1.1 – 1.3 in their own words. All learners introduced to the idea of plagiarism to understand importance of not copying others for future reference.
- Career Planning: Learner B has included final draft of CV and annotated photo. All learners have revisited 1.1 and 1.2 to ensure multiple ideas given.

Signature of Internal Moderator XXXXXXXXXXXX

Signature of Assessor: XXXXXXXXXXXX

Date: xx/xx/xxxx

Date: xx/xx/xxxx

SAMPLING PLANS

A sampling plan identifies which learners and which Assessors are going to be internally moderated at a given interval. It can come in any format but the key feature is that it is representative of the whole group of learners and takes into consideration any risk factors at the centre (such as number of learners, number of Assessors, multi-sites, experience of Assessor).

It is important that the sampling plan includes a mix of the levels at which the learners are being entered and it must include all units to be submitted to external moderation.

It is good practice to record the rationale for the sampling plan – is there a reason why the IQA is going to sample all learners or just a proportion of them? Is there a reason why a particular unit is going to be particularly lightly or heavily sampled? This could be because the centre is new (and therefore sampling should be thorough) or it could be due to feedback from the EM in the past about IQA processes or areas for improvement within particular units.

An electronic document often provides an effective means by which to produce sampling plans, as Assessor names, learner names, unit titles, dates etc can all be displayed in a straightforward grid format. It can also be used to display the dates of other activities such as meetings and observations. If changes to dates or other information need to be made, this can be captured neatly on an electronic document.

It is advised that sampling is not end-loaded; it should be ongoing throughout the assessment process so that the IQA can review assessment judgements before summative decisions are made. Interim sampling highlights problems at an early stage so that corrective actions can be put in place and good practice can be acknowledged. If necessary, support or training can then be provided to Assessors so that learners are not disadvantaged.

For learners undertaking a Certificate or Diploma sized qualification, it is best practice to use interim sampling. For learners undertaking an Award sized qualification, we acknowledge that the period of time for delivery may not allow for interim sampling.

Example Sampling Plan

Qualification: xxxxxxxx

Assessor Name: xxxxxx

IQA Name: xxxxxxxxx

Date of Assessor Observation: 04/03/21

Group A Learners	Unit W	Unit X	Unit Y	Unit Z	Summative Sampling
Learner 1	31/10/2020			01/03/2021	
Learner 2		01/01/2021			31/03/2021
Learner 3			12/02/2021		
Learner 4				01/03/2021	31/03/2021
Learner 5	31/10/2020			01/03/2021	
Learner 6		01/01/2021			31/03/2021
Learner 7			12/02/2021		
Learner 8				01/03/2021	
Learner 9	31/10/2020			01/03/2021	31/03/2021
Learner 10		01/01/2021	12/02/2021		

Sampling Rationale:

Unit Z being completed for the first time so 50% sampling to ensure understanding of unit

Summative IM to be undertaken before submission for EM in May 21

Other units completed and achieved previously and experienced

Assessor so light interim sampling for Units W-X

ASSESSOR SUPPORT

A significant aspect of the Internal Quality Assurer's role is giving appropriate support to Assessors and ensuring their continuing professional development (CPD). There should be an induction process in place for new Assessors and more experienced Assessors should be offered CPD opportunities. The IQA should ensure that the staff on the assessment team are suitably qualified and suggest courses and qualifications as appropriate.

The IQA should observe the Assessor with the learner, ideally doing tasks that contribute directly to the learner's portfolio of evidence. This allows them to form an impression of how effectively the Assessor supports the learner and how capable they are in making valid assessment decisions. Observations also give the IQA a chance to understand difficulties, provide feedback on delivery and share good practice.

In addition to observation, the IQA could have a professional discussion with the Assessors to gain insight into Assessor performance and Assessors could be encouraged to observe each other.

The IQA should ensure all assessment activities embrace equality, inclusivity and diversity, represent all aspects of society and meet the requirements of the Equality Act 2010. Discussions should all be documented so that there is a clear audit trail of feedback and action points. Documentation relating to the monitoring of Assessor practice, evidence of CPD, and CVs (for example) should be submitted for external moderation as it demonstrates sound internal quality assurance practice.

The Prince's Trust offers two Level 3 qualifications in assessment. If a member of your team is interested in undertaking one of these qualifications, please contact us.

Please see Appendix 1 – Assessor Observation Record Template.

STANDARDISATION

Standardisation is a process that aims to ensure that:

- each Assessor consistently makes valid decisions
- all Assessors make the same decision on the same evidence base
- all learners are assessed fairly

Part of the IQA process is to ensure Assessors are standardising their practice. Standardisation activities should take place throughout the assessment process to improve the consistency of Assessors' judgements. These activities can be timetabled to take place as part of a team meeting or as a separate event.

Records of standardisation exercises, including feedback to Assessors, should be kept along with minutes of meetings. It is good practice for the IQA to standardise actual assessment decisions being made by different Assessors and not just procedures and paperwork.

If a centre operates across multiple sites or has partnership arrangements, standardisation activity must take place across all sites to ensure that all learners are being treated equally, have equal chance of success and to check that learning and assessment experiences are comparable across the board.

One ideal opportunity for a standardisation activity would be on receipt of an External Moderation Report as this could flag up a need to focus on a particular unit or area of assessment.

EVIDENCE OF STANDARDISATION

It is good practice to include evidence of standardisation when making claims for external moderation. Evidence could include:

- Minutes of standardisation meeting
- Actions from standardisation meeting
- Assessor training records
- Actions taken following previous External Moderation Report
- Feedback given to Assessors.

Please see Appendix 3 – Standardisation Activity Template.

OTHER IQA ACTIVITIES

Conversations with Learners

The IQA should ensure that the learners are getting the right support and information they need to succeed with the qualification. Having a process of initial induction or short 1:1 sessions may be the best way to understand the learner's needs.

Learners are entitled to have access to information about the qualification and how to make an appeal. It should be confirmed that they are working at an appropriate level, that any prior learning has been taken into account and that they are getting the necessary support to succeed.

As with the monitoring of Assessor practice, documentation of any conversations with learners could be submitted for external moderation to demonstrate robust IQA practice.

Please see Appendix 2 – Learner Interview Template.

Action Plans

The IQA should ensure that actions resulting from previous external moderations are factored into assurance activities.

The External Moderation Report will highlight areas for improvement for future submissions. The IQA should support the Assessors to produce an action plan with clearly defined targets to ensure the improvements are implemented with appropriate review dates. All actions undertaken following the last EM Report should be included within the IQA process. This is particularly important when work has not reached the standards required to achieve a Pass.

RETAINING EVIDENCE

Centres must retain all learners' work until after the unit results have been issued and any appeals have been completed or the deadline for submitting an appeal has passed.

In addition, a selection of work will be copied by Prince's Trust Qualifications and retained to form an archive after each assessment window. This may be used during training events and moderation events to ensure that standards are maintained and appropriately carried forward year on year.

Centres must keep complete accurate records for all qualifications, for at least three years from the end of the academic year to which they relate. These must be made available to Prince's Trust Qualifications or the appropriate Regulator on request.

Centres are advised to retain the following records:

- Name of learner, date of birth and contact address
- Title and accreditation number of each qualification and unit studied
- Name(s) of Assessor(s)
- Assessment records, including assessment decision and reason for decision
- Name(s) of IQAs(s)
- Internal quality assurance records, in particular Internal Moderation Forms
- Copies of Tracking Sheets should be kept until results have been issued

APPENDICES

The appendices provide examples of the following templates:

- 1 Assessor Observation Record
- 2 Learner Interview Record
- 3 Standardisation Activity Record

If you would like a Word version of any of the appendices, please email your request to qualifications@princes-trust.org.uk.

APPENDIX 1 - Assessor Observation Record Template

Name of IQA	
Name of Assessor	
Name of Learner/s	
Qualification / Unit	

Date of Observation:	Yes	No	Comments
Assessor put the learner at ease			
Assessor explained assessment procedure to the learner			
Assessor supported the learner to relate evidence to the assessment criteria			
Assessor asked learner relevant questions			
Assessor considered all evidence presented			
Assessor explored different sources of evidence with the learner			
Evidence requirements were met			
Assessor provided clear, formative feedback to the learner			
Feedback was given in a constructive, encouraging way			
Assessor clearly stated their assessment decisions			
Assessor gave the learner advice on how they could develop the necessary skills or provide more evidence			
Further action was agreed with the learner (if appropriate)			
Assessor explained appeals procedure (if learner disagreed with assessment decision)			
All necessary assessment documentation was completed			

Assessment activity observed	
IQA Comments / Feedback	
Assessor Comments	
Action Points	
IQA signature:	Date:
Assessor signature:	Date:

APPENDIX 2 - IQA Learner Interview Record Template

Learner name	
Qualification and Level	
Assessor name	
IQA name	

When did you begin the programme?	
What qualification are you working towards?	
Was the process of how to complete your qualification explained to you?	
Was your prior learning discussed before you started work on this qualification?	
When, where and how does assessment take place?	
What work have you had assessed so far?	
What types of evidence have you collected?	
Does your assessor give you feedback after assessment?	
Is this feedback in a written form and/or explained to you?	
Do you feel you have received enough help and guidance in putting your portfolio together?	
How could the support you receive with your qualification be improved?	
Do you know how you would make an appeal if you do not agree with an assessment decision?	

I agree for this information to be shared with my Assessor.

Learner signature Date

IQA signature Date

APPENDIX 3 - Standardisation Activity Record Template

Course Title	
Qualification	
Standardisation unit	
Name of IQA	
Assessors present	
Date	

Ensure all staff have copies of the assessment criteria. Each Assessor to review all the portfolios for the unit to be standardised, as requested by the IQA.

For each portfolio, enter P for Pass or F for Fail. If Fail, please list the assessment criteria that you consider have not yet been met.

Assessor	Assessor status	Assessment site	Portfolio A	Portfolio B	Portfolio C	Portfolio D
Assessor 1						
Assessor 2						
Assessor 3						
Assessor 4						
Assessor 5						
Final assessment decision						

Issues arising from Standardisation Meeting
Action points
List names of staff absent and action to be taken to ensure their work is standardised

Date of next standardisation meeting	
Unit to be standardised	
IQA signature	
Assessors' signatures	



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